



BOARD OF ETHICS

2009 Annual Report

King County Code of Ethics
Helping Employees Make Ethical Decisions



King County Board of Ethics

2009 ANNUAL REPORT

January 1, 2009, through December 31, 2009

MEMBERS

Roland H. Carlson
Gunbjorg Ladstein
Bruce C. Laing, Chair
Lois Price Spratlen, Ph.D., Chair
Anne J. Watanabe

EXECUTIVE DIRECTOR

Catherine A. Clemens

BOARD COUNSEL

Kathryn Killinger

KING COUNTY EXECUTIVE

Kurt Triplett
Dow Constantine

DEPARTMENT OF EXECUTIVE SERVICES

James J. Buck, County Administrative Officer and Director
Robert Cowan, County Administrative Officer and Director



King County

King County Board of Ethics

Department of Executive Services

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Alternative Formats Available



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King County

King County Board of Ethics Department of Executive Services

March 2010

King County Executive Dow Constantine
Metropolitan King County Council Chair Bob Ferguson
Members of the Metropolitan King County Council
Separately Elected Officials

The Board of Ethics is pleased to present the 2009 Annual Report. Since it was established in 1972, the board has worked to serve the employees and citizens of King County by responding to requests for ethics-related advisory opinions and for continued interpretation of the policy underlying the King County Code of Ethics. Our overall goal is to assure and enhance citizen trust in all aspects of King County government.

This report reflects in detail the ethics program of the board and staff during the past year. The board maintains its philosophy that education and the involvement of management/leadership creates a strong and successful ethical workplace. This has resulted in the establishment of an aggressive ethics awareness campaign. Through this initiative, we have developed a strong training program, personal outreach to county managers and employees, an Ethics Help Line, and other resource materials, including a current and operational Web site.

As volunteers, we consider service on this board an opportunity to contribute to the continuing integrity of King County government. We are proud of the high level of ethical standards and conditions now existing in King County. We hope that you will find the information contained in this report of value and look forward to continuing to serve county government in the future. We welcome your inquiries regarding the King County ethics program at any time.

Sincerely,

Bruce C. Laing, Chair

Roland H. Carlson

Gunbjorg Ladstein

Anne J. Watanabe



Report Summary *Serving King County Since 1972*

Achievements of Board and Staff

- Provided in-person training to more than 1,500 employees or approximately 12% of all county employees.
- Conducted outreach to all executive branch departments, meeting with directors and their deputies, to report on ethics board and office activities and to exchange information.
- Achieved 99.8% filing compliance associated with the financial disclosure program for affected employees and elected officials by the April 15th deadline, and achieved 97.6% filing compliance for board and commission members by that date.
- Conducted the sixth annual, on-line ethics quiz and survey for county employees with direct access to computers in which 18% of 12,000 employees took part.
- Held six meetings in 2009 and hosted the annual leadership reception for department directors and deputies, and separately elected county officials.

Goals and Performance Measures

Goal I: Educate County Employees.

Ethics staff provided education and training to approximately 1,500 county employees in 2009, with an emphasis placed on reaching new employees (66%) and supervisors, including directors and their deputies (18%). During three weeks in October, the office conducted the sixth annual, on-line ethics quiz and survey for county employees in which 18% of 12,000 county employees with direct computer access voluntarily participated. The executive director reported results of the quiz and survey to leadership and employees the following November and posted the quiz and results on the ethics Web site as well. In addition, the ethics office sent periodic broadcast emails to employees regarding ethics issues throughout the year.

Goal II: Continue Systematic Review of the Ethics Code.

The board reviewed the Code of Ethics and forwarded amendments to the County Executive in August. The amendments generally revised outdated or incorrect references within the King County Code of Ethics 3.04. The executive approved the proposed amendments and forward them to the County Council in September. No final action has been taken by the council as of December 14, 2009.

Goal III: Provide Advice and Guidance.

The Board of Ethics issued no advisory opinions in 2009. However, during the year, the executive director responded to 175 requests for information on ethics issues by phone, and provided written responses to over 135 additional ethics requests. Details of the inquiries may be found on page 15 of this report.

Goal IV: Conduct the Financial Disclosure Program and Consultant Disclosure Program.

As of the filing deadline of April 15, 2009, 99.8% of 2,897 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050; 97.6% of 507 affected county board and commission members had filed. Under the consultant disclosure program, approximately 185 contractors and vendors filed consultant disclosure forms with the ethics office as required by K.C.C. 3.04.120. Each statement and disclosure form was individually reviewed by the executive director for completeness and potential conflicts. Forms requiring additional or explanatory information were returned to the filer; audited forms are required to be returned to the ethics office within two weeks.

Goal V: Collaborate with Other Ethics Agencies.

The Board of Ethics maintained its membership in the International Council on Governmental Ethics Laws (COGEL), and the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.



The King County Board of Ethics

Mission

To ensure the highest standards of public service by developing, disseminating and promoting readily understandable ethics requirements for King County employees and agencies.

Authority

The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

The Board

Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an extensive education and training program. The board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The board is assisted by a full-time executive director and a half-time administrative staff located in a central office. The board and executive director are also advised by legal counsel from the prosecuting attorney's office. Together, they serve more than 13,000 employees within the legislative and executive branches of county government as well as the general public.

Two members of the board are to be appointed by the King County Executive and two members are to be appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is appointed by the executive based upon nominations from the other board members.

The Board held six meetings in 2009 and members maintained a 74% attendance record. During the annual board retreat held on Monday, February 2, the board approved the 2008 annual report, the 2009 business plan, and the 2009 mission and goals. Copies of all documents may be obtained by visiting the ethics Web site and by contacting the ethics office.

2009 Goals

Goal I:

To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.

Goal II:

To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.

Goal III:

To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.

Goal IV:

To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.

Goal V:

To collaborate with other ethics agencies both public and private within the State of Washington and the U.S. and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program; to continue development of the Statement of Principles and encourage Washington state jurisdictions to endorse and promote the initiative.



2009 Initiatives

In addition to its activities expressly authorized under the Code of Ethics, the board actively pursued additional initiatives in 2009 as follows.

Awareness Campaign

The board continued this work which was created and designed to raise employee awareness of the Code of Ethics, the Board of Ethics, ethics office, and the resources they provide; to help employees make ethics decisions; and to help ensure the public's trust in King County government. Details of 2009 campaign activities are found on page 10.

Statement of Principles

In January of 2003, the Board of Ethics began discussions about a statement of commonalities among ethics jurisdictions and the importance of articulating these shared values. The result was "Ethics, Public Service and the Public's Trust: A Bilateral Statement of Principles," between King County Board of Ethics and the Seattle Ethics and Elections Commission. The purpose of the document was to outline the clear language of the common elements shared by the two codes of ethics, in the belief that they reflect attitudes and a shared spirit among public employees that favor fair and honest decisions and actions. The two agencies also believe that an understanding of the commonalities will foster public trust and public perceptions that principled approaches prevail in our local governments. On June 4, 2007, the number of signers expanded to include the Spokane City Council in a ceremony hosted

by the respective jurisdictions and the Daniel J. Evans School of Public Affairs at the University of Washington. In 2009, the Board of Ethics continued to work with the Washington State Association of Counties and the Association of Washington Cities to extend the concept to separate jurisdictions and association and to seek additional signers.

Annual Leadership Reception

Board members hosted the annual reception for county leadership on September 21, 2009. Executive Triplett and County Council member Julia Patterson made brief remarks on the importance of ethics in county government. The event was attended by department directors and deputies, separately elected officials, and ethics partners, among others. Through this annual event, the board aims to maintain positive relationships throughout the county and keep officials informed and aware of the importance of ethics within county government. In addition, each year the board takes this opportunity to publically recognize employees who are positive role models related to ethical ideals. This year, the board acknowledged Benjamin Leifer, Chief Administrative Officer for the Department of Public Health, for his strong leadership in ethics and his collegial spirit while working with ethics staff. The board also recognized former board chair Dr. Lois Price Spratlen for her valued service and significant contributions during her fifteen year tenure on the board.



Board of Ethics Members



ROLAND H. CARLSON

*Acting Chair
1994 – present*

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, proposal management on missile system basing and management of the Boeing Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5 years as a Research and Development Officer in the U.S. Air Force. Key assignments included nuclear blast and shock experiments on structures at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, the Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including Chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He has authored numerous professional papers and journal articles.



GUNBJORG LADSTEIN

*Member
2008 – present*

Gunbjorg Ladstein's professional experience includes working as a Transportation Planner for King County, retiring in 2006. Her work experience also includes working as Program Consultant for United Way of King County and Systems Engineer for IBM.

Gunbjorg is a long time member of the League of Women Voters of Seattle and served on the Board of Directors and as President. She served on the Washington State Boundary Review Board of King County, including a term as Chairperson. She also has served on various other citizens committees, including Citizens Water Rate Advisory Committee, Citizens Advisory Committee for Selection of Seattle School Superintendent, Committee to Select Consultant for Sewer Rate Study for City of Seattle Engineering Department, and King County Elections Advisory Committee. Gunbjorg currently serves on the Ballard First Lutheran Church Council and the Northwest Washington Synod Evangelical Church of America Council.

Gunbjorg is a graduate of the University of Washington with a degree in Business Administration. She is a member of Phi Beta Kappa.



BRUCE C. LAING

Chair

2008 – present

Bruce Laing is a member of the College of Fellows, American Institute of Certified Planners. He has been a professional urban planner for more than forty years. His planning career includes a wide variety of experiences: King County Zoning & Subdivision Hearing Examiner, Proprietor of a planning and government relations consulting firm, Planner for a land development firm, Planning Program Administrator U.S Department of Housing and Urban Development, Planner for an engineering consulting firm, and Member Central Puget Sound Growth Management Hearings Board.

Bruce was elected to the King County Council in 1979 and served in that office through 1995. During his tenure on the King County Council he also served on the Central Puget Sound Regional Transit Authority Board (now Sound Transit), on the Executive Board of the Puget Sound Regional Council (PSRC), and on the Council of the Municipality of Metropolitan Seattle (METRO).

Bruce is a graduate of Seattle University and holds the degree Master of Urban Planning from the University of Washington.



LOIS PRICE SPRATLEN, PhD, FAAN

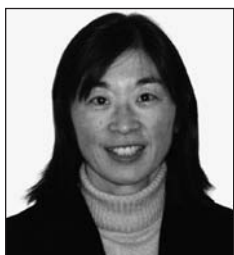
Chair

1994 – 2009

Lois is Professor of Psychosocial and Community Health Nursing at the University of Washington. Since December 2008 she also has been Emeritus University Ombudsman and Ombudsman for Sexual Harassment. She is currently writing a book that is to be completed during 2010 about her experiences while serving for over 20 years in these two administrative roles.

Lois resigned from the King County Ethics Board when her term ended on July 31, 2009. She was honored at the 2009 Annual Ethics Reception and was presented a plaque for her outstanding service on the board from 1994-2009. During her service she implemented a preventive model of service delivery which Ms. Clemens has extended to all King County boards and commissions. This was in addition to her use of this model on each of the three campuses of the University of Washington (Seattle, Bothell and Tacoma). Her model has also been successfully tested in the King County court system where there was a challenge to this preventive approach to responding to and managing sexual harassment grievances. The approach was successfully defended with the use of 14 of 22 exhibits that are an integral part of her preventive model.

During her years of service on the King County Board of Ethics, Lois also received many professional and community service awards, including being named a Fellow in the American Academy of Nursing (FAAN), the Samuel E. Kelly Award from the UW Multicultural Alumni Partnership and a community service award from the African American Jewish Coalition for Justice. Lois is the founder of the Scholarship Endowment of the Mary Mahoney Professional Nurses Organization.



ANNE J. WATANABE

Member

2007 – present

Anne Watanabe is the Deputy Hearing Examiner for the City of Seattle, and has served in that capacity since 1995. She conducts quasi-judicial hearings and issues decisions and recommendations based upon the hearing record and the applicable laws. Prior to her work at the City of Seattle, Anne was a land use planner for the cities of Kent and Bellevue, a planner with the state Department of Ecology, a managing editor for a legal publisher, and also worked in private practice as an attorney.

Anne is a Seattle native, receiving her law degree and Masters in Urban Planning at the University of Washington. She is a member of the Washington State Bar Association. She previously served on the Board of the Municipal League of King County and as a volunteer with Refugee Women's Alliance and the King County Bar Association Neighborhood Clinics. She is currently a volunteer with St. James ESL and the Seattle Animal Shelter.



Board Members and Staff 1983 - 2009

Board Members

Judith Woods, Ph.D.
1983 - 1992

Hubert Locke, Ph.D., Chair*
1984 - 1987

J. Patrick Dobel, Ph.D., Chair
1987 - 1996

Timothy Edwards, Esq., Chair
1989 - 1996

Rev. Paul F. Pruitt
1992 - 2008

Lois Price Spratlen, Ph.D., Chair
1994 - 2009

Roland H. Carlson, Acting Chair
1994 - *present*

Lembhard G. Howell, Esq.
1996 - 2002

Judge Paul M. Feinsod
1997 - 1999

Margaret T. Gordon, Ph.D.
1999 - 2008

Jerry Saltzman
2003 - 2007

Anne J. Watanabe, Esq.
2007 - *present*

Bruce C. Laing, Chair
2008 - *present*

Gunbjorg Ladstein
2008 - *present*

Staff to the Board

Margaret A. Grimaldi, Administrator
1992 - 1997

Catherine A. Clemens, Executive Director
1997 - *present*

*"Chair" indicates the member served in that capacity during his or her tenure on the board. Roster based on available information.



Staff and Budget



CATHERINE A. CLEMENS

Executive Director

1997 – present

As executive director to the office of the Board of Ethics, Ms. Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to more than 13,000 employees. She conducts weekly ethics orientations for new employees; half-day, in-depth seminars for supervisors; issue-specific discussions for general staff; and occasional forums for employees with specialized responsibilities, including human resources personnel and contract managers. In addition, she manages the Ethics Help Line and responds to all ethics-related inquiries from county employees and the general public, and provides written informational responses upon request.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including the annual disclosure of financial and other interests for employees, elected officials, and board and commission members, as well as the consultant disclosure requirement for vendors, contractors, and consultants doing business with King County. She also publishes advisory opinions, a Code of Ethics summary in plain language, the annual report, ethics-related brochures and ethics awareness materials, and maintains a comprehensive Web site: www.kingcounty.gov/ethics/.

Ms. Clemens received a Master of Public Administration from the University of Washington's Evans School of Public Affairs. She is a member of Phi Beta Kappa.

Peter Toliver

Administrative Specialist

2007 – 2009

Danielle Bissonnette

Administrative Specialist

2009 – present

Mr. Toliver served as the financial disclosure coordinator, assisted in providing support to the Board of Ethics, prepared ethics publications, and provided general information to inquiring employees and the general public until May, 2009. Ms. Bissonnette served as financial disclosure coordinator beginning December, 2009.

Kathryn Killinger

Senior Deputy Prosecuting Attorney

King County Prosecuting Attorney's Office

2009 – present

Ms. Killinger provides legal counsel to the board and executive director on all ethics-related matters.

Budget for Calendar Year 2009

Budget: \$211,787

Staff positions: 1.5 Full Time Employees



Goal I – Education and Training

To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.

AWARENESS CAMPAIGN

Created in 2003, the goals of the awareness campaign are to raise employee awareness of the Code of Ethics, the Board of Ethics, ethics office, and the resources they provide; to help employees make ethical decisions; and to help ensure the public's trust in King County government. As part of this continued work, the ethics staff produced the sixth annual, on-line quiz and survey for county employees; sent periodic ethics messages on timely topics through the executive's broadcast email system; and refreshed the design of ethics publications. The publications included the ethics poster with tear-off Ethics Help Line card, the Summary of the Code of Ethics, and two brochures – one for board and commission members and one for consultants and clients doing business with King County. These new offerings will be released in January, 2010. The ethics Web site was kept current and relevant to the needs of county employees and the general public, since the site represents a significant informational and educational tool for the ethics office.

ETHICS PARTNERS

Ethics Partners is an important initiative creating relationships among the ethics office, Human Resources Division, and county departments to support ethical decision-making and behaviors by employees and elected officials. Established in 2006, ethics partners are human resources service delivery managers within each department who work with ethics staff on ethics-related communications, initiatives, needs assessments, and services. Ideally, these individuals already demonstrate an understanding of and support for sound ethical values throughout King County. Ethics staff made presentations to the ethics partners at least once in 2009, and communicated by phone and email on relevant issues throughout the year.

ETHICS PROMOTION AND MEASUREMENT INITIATIVE

The Human Resources Division (HRD) and the office of the Board of Ethics worked collaboratively throughout the year to help promote and measure ethical conduct within King County. Capitalizing on existing ethics requirements and current HRD roles and responsibilities, HRD and ethics staff worked to enhance both agencies and help ensure high ethical standards for employees and elected officials. One way in which HRD works with the ethics staff is to provide the ethics office with quarterly reports based on the findings of its weekly pre-disciplinary review committee, highlighting cases in which the county imposed discipline specific to violations of the Code of Ethics. This information helps to guide the focus of training and education conducted by the ethics staff. In 2009, seven violations were reported for the following issues: personal use of county computers (2); personal use of county equipment (3); and taking county property (2).



Goal I – Education and Training (continued)

ETHICS QUIZ AND SURVEY

The Board of Ethics and staff conducted the sixth annual on-line ethics quiz and survey from October 5 through 23, 2009. The objectives were to raise awareness among county employees of the Code of Ethics, the Board of Ethics and its office, and the services they provide; to increase and challenge employee knowledge of the ethics code and to be informed by employee opinions on ethics issues in King County. This year, the quiz helped to measure employees' basic understanding of Code of Ethics provisions, and the survey helped to inform on what employees think about ethics resources provided by the board and its office. Executive Triplett announced the quiz on October 5 through a countywide global email and invited participation via Web link. All county employees having direct computer access were able to take part. The initial announcement was followed one week later by county-wide reminder email. Participation was voluntary and employees were offered an incentive to take part – a random drawing for three de minimis prizes. Results of the quiz and survey revealed the following facts:

- Total distribution: 12,000
- Overall participation rate: 18%
- Employees generally responded correctly to 8 out of 9 questions; the average overall correct response rate was 94% per participant.
- When asked if the Board of Ethics Web site is helpful in identifying and dealing with ethical issues, 71% agreed; 28% neither agreed nor disagreed.
- When asked if they believe the ethics office and board would honor their request for confidentiality, 84% agreed; 13% neither agreed nor disagreed.
- When asked if they believe the office and board would help them successfully resolve an ethical issue, 86% agreed; 12% neither agreed nor disagreed.
- When asked if they know about the Ethics Help Line that they may call to discuss concerns or report unethical conduct, 63% agreed; 15% neither agreed nor disagreed; 17% had not encountered an appropriate situation.

Question	Response %	Basis
Ethics Code based questions	94%	Correct answers
Ethics Web site is helpful?	71%	Agreed
Honor caller's confidentiality?	84%	Agreed
Board/office will help resolve dilemma?	86%	Agreed
Aware of the Ethics Help Line?	63%	Yes

Based on the responses to this year's quiz and survey, we concluded that:

- The consistently high number of employees who voluntarily take part in the annual ethics quiz and survey indicates that employees have a significant interest in workplace ethics.
- Employees have a solid, basic understanding of the King County Code of Ethics demonstrated by the high percentage of correct responses to questions.
- Resources provided by the Board of Ethics and its office are helpful to county employees, provide them with a way to discuss concerns or report unethical conduct, honor their confidentiality, and assist them in successfully resolving ethical dilemmas in the workplace.
- More work needs to be done to make county employees aware of the Ethics Help Line.

The 2009 quiz and survey, final report on results, and executive summary are available on the ethics Web site and by contacting the ethics office. Quizzes and their reports from previous years may also be found there.



Goal I – Education and Training (continued)

TRAINING AND EDUCATION OVERVIEW

The ethics office provided in-person training and education to 1,514 county employees in 2009, with an emphasis placed on reaching new employees (67%) and supervisors, including directors and their deputies (18%). By focusing on new employees, we help to ensure they have an awareness of the code before beginning work, and the knowledge of how to seek guidance when ethical dilemmas arise. By focusing on supervisory staff, we help to

develop skills in identifying and resolving ethics-related issues and, therefore, help them to lead others more effectively.

The number of presentations and hours remained steady in 2009. However, the number of employees receiving ethics training dropped, particularly in new employee orientations, due to budget-related hiring restrictions.

Year	Presentations	Hours	Participants
1994 - 2001	14 – 36	11 – 91	600 - 1318
2002	43	37.75	1,043
2003	64	76.00	1,785
2004	94	47.75	1,505
2005	120	87.50	2,222
2006	84	49.75	2,141
2007	78	48.25	1,924
2008	72	49.25	1,890
2009	79	53.00	1,514

CLASSES

Education and training for county employees is the first goal and priority of the Board of Ethics. To meet that goal, the executive director conducted weekly, mandatory orientations for new county employees through the Human Resources Division (HRD). The orientations included an overview of the ethics code and an introduction to the ethics board and office. New employees received a Summary of the Code of Ethics, an Ethics Help Line card, and a brochure on ethics-related interactions with vendors, contractors and customers. Employees are encouraged to contact the ethics board and office as a resource to help them make ethical decisions in the workplace.

The executive director also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRD Supervisor Training Program. These courses included a comprehensive review

of the code, an introduction to the ethics board and office, a description of a decision-making model, and an interactive group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas. (For course evaluations, see below.)

EVALUATIONS

All students complete evaluations following each supervisor training course. Class participants were asked to rate the overall value of the course; the knowledge and ability of the instructor; and the quality of the course content related to their jobs. In response to these questions, evaluators could choose from poor, fair, good, very good, and excellent. In addition, attendees were asked to rate their knowledge of county ethics based on the stated learning objectives before and after the class on a scale of 1 to 5. Participants rated the ethics course as follows:



Goal I – Education and Training (continued)

Question	Response %	Rating
Valuable educational experience	98%	Good to excellent
Would recommend course	98%	Good to excellent
Handouts/visual aids are useful	97%	Good to excellent
Instructor demonstrated knowledge	98%	Good to excellent
Instructor involved entire class	98%	Good to excellent
Instructor checked for understanding	99%	Good to excellent
Instructor effectively engaged class	99%	Good to excellent
Ability to ID 5 important code provisions	96%	Minimum of 1 step gain
Improved decision-making ability	88%	Minimum of 1 step gain
Knowledge of ethics-promoting activities	90%	Minimum of 1 step gain

INFORMAL PRESENTATIONS

The executive director offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group.

SPECIALIZED TRAINING

Additional training sessions focused on groups with specialized functions. These included human resources personnel; board members; department directors and their deputies; and staff liaisons and department coordinators with responsibilities related to the financial disclosure program.

Employee Type	Number	%	Hours	Subject Focus
New Employees	1,010	67%	12.5	Ethics Overview
Deputies	135	9%	12.0	Information Exchange
Supervisors/Managers	127	8%	21.0	Ethics Code
Contract managers	80	5%	1.0	Ethics Code Specific
HRD Personnel	45	3%	0.5	Ethics Code Specific
Coordinators/Liaisons	33	2%	3.0	Financial Disclosure
Prosecuting attorneys	30	2%	1.0	Ethics Code
Board Members	26	2%	1.0	Ethics Code Specific
General employees	14	1%	1.0	Various Ethics Topics
Directors	14	1%	Incl. with deputies	Information Exchange
Total	1,514	100%	53.0	



Goal I – Education and Training (continued)

TECHNOLOGY

The Board of Ethics Web site located at: www.kingcounty.gov/ethics/ is available to any employee or citizen with Internet access, and continues to serve as an important resource for immediate ethics-related information and education. Resource content includes the Code of Ethics and related summary in plain language; all advisory opinions issued by the board in their full text; all rules and procedures; disclosure programs and related

requirements and forms; ethics publications and recent news; information on the board and its office; the current and historical meeting schedules, agendas and minutes; and board initiatives such as the Statement of Principles and the annual reception and related ethics award-winners. Employee, board member, and consultant disclosure forms are also available on the Web site and may be filled out on-line. (A copy of the ethics home page is attached to this report.)

PUBLICATIONS AND AWARENESS MATERIALS

The executive director published and distributed the following publications and awareness materials in 2009:

- Summary of the Code of Ethics—a summary of the ethics code in plain language with examples; required to be received by all new employees.
- Ethics Help Line Card—Helping Employees Make Ethical Decisions—a rolodex-sized card with contact phone number designed for employees who have questions about ethical ways to approach their county work—distributed to all county employees.
- You And King County: Doing Business with Contractors, Vendors, Clients, and Customers—a brochure for those doing business or seeking to do business with the county, as well as county employees working with these client groups; highlights sections of the ethics code that affect these relationships—distributed to both employees and contractors, vendors, and customers.
- Members of King County Boards, Commissions and Other Multi-Member Bodies—a brochure for volunteer citizens, highlighting ethics code provisions that affect their services on county boards and commissions.
- Advisory Opinion Subject Index and Summary Guide—a complete set of summarized advisory opinions issued by the Board of Ethics, organized by subject and issue date—distributed in supervisor seminars and to county leadership and upon request.
- 2008 Annual Report—distributed to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.
- Ethics Poster—12" x 17" poster with tear-off Ethics Help Line card for display in areas wherever employees expect to find helpful county information—distributed throughout the county.
- Post-It Note Pads—3" x 4" post-it pads in the likeness of an Ethics Help Line card for office use and to serve as a reminder of the ethics resources available to employees—distributed throughout the county.

Goal II – Review of the Code of Ethics

To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and county council.

The board reviewed the Code of Ethics and forwarded amendments to the County Executive in August. The amendments generally revised outdated or incorrect references within the King County Code of Ethics 3.04. The executive approved the proposed legislation and forward it to the County Council in October. No final action has been taken by the council as of end of 2009, and it is anticipated the council will address the matter in early 2010.



Goal III – Advice and Guidance

To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.

ADVISORY OPINIONS

The Board of Ethics issued no advisory opinions in 2009.

STAFF INFORMATIONAL RESPONSES

During the year, the executive director issued 135 staff informational responses in which she provided a written response to employee inquiries on situations in which the code and existing advisory opinions have already been applied to an analogous issue. Frequent issues included use of county resources; acceptance of gifts, meals, or attendance at events; conflict with official position; campaign activities; post-employment; outside or secondary employment; conflict for county board members; and conducting solicitation or fundraising. Because existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However, recipients of staff informational responses always have the option of requesting a formal advisory opinion from the ethics board.

Year	Ethics Advisory Opinions	Staff Informational Responses
1991	30	
1992	16	
1993	26	Not issued prior to 1994
1994	28	12
1995	25	15
1996	10	15
1997	8	42
1998	4	44
1999	1	21
2000	0	70
2001	0	77
2002	0	87
2003	0	69
2004	0	159
2005	1	135
2006	0	130
2007	0	140
2008	1	167
2009	0	135
TOTAL	150	1,318

TELEPHONE INQUIRIES

Phone consultations help resolve ethics-related questions by providing employees and supervisors with the information they need to make common sense decisions. In addition to reviewing the situation and providing clarifying information, the executive director encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the director responded to over 640 telephone calls; this figure does not reflect outgoing calls placed by the ethics staff or e-mail messages. Categories of inquiry included, among others, 176 ethics-related questions from

employees; 119 questions on employee and board member financial disclosure; 27 public requests for ethics information; 22 inquiries on the requirement for consultant disclosure; and 49 ethics-related questions referred to other agencies. Of the 176 ethics-related inquiries responded to by the ethics office, issues included – in order of frequency – conflict with official position; use of county resources; acceptance of meals and gifts and attendance at events; solicitation of goods and services; outside employment; potential conflict for board members; campaign activities; and post-employment restrictions.



Goal IV – Disclosure Programs

To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflict of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.

EMPLOYEES AND ELECTED OFFICIALS

As of the April 15th deadline, 99.8% of the 2,897 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050. The executive director provided notices and regular reporting to the County Executive, County Council, the Ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. In addition, the director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Department coordinators received optional orientations in January as well as comprehensive informational packets to assist them in their role, and the financial disclosure coordinator provided weekly communications on employee filing status during the program period.

BOARD AND COMMISSION MEMBERS

As of the April 15th deadline, 97.6% of the 507 affected county board and commission members had filed statements of financial and other interests as required under K.C.C. 3.04.050.

As with employee statements, the executive director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Staff liaisons received optional orientations in January and informational packets, and the financial disclosure coordinator provided weekly communications on board and commission member filing status during the program period.

CONSULTANT DISCLOSURE

Under K.C.C. 3.04.120, each consultant entering into a contract to provide professional, technical or engineering services to the county in an amount exceeding \$2,500 must file a sworn statement disclosing information related to potential conflicts of interest. The ethics office received and reviewed approximately 185 consultant disclosure forms in 2009. (The 2009 forms continue to be filed in early 2010.) All forms are individually reviewed and the executive director may request additional or clarifying information before accepting the form. No payment may be made on any affected contract until five days after receipt by the ethics office of the completed form.

Year	Board Members and Commissioners (# and % compliance on 4/15)	Employees and Elected Officials (# and % compliance on 4/15)	Consultant Disclosure Statements (# of filings)
2003	448 - 99%	2,119 - 99%	299
2004	461 - 97%	2,302 - 99%	301
2005	432 - 96.8%	2,411 - 99.7%	300
2006	432 - 98.4%	2,432 - 99.8%	252
2007	445 - 98.2%	2,461 - 99.4%	253
2008	502 - 99.2%	2,766 - 99.7%	238
2009	507 - 97.6%	2,897 - 99.8%	185



Goal V – Collaboration with Other Ethics Agencies

To collaborate with other ethics agencies both public and private within the State of Washington and the U.S. and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program; to continue development of the Statement of Principles and encourage Washington state jurisdictions to endorse and promote the initiative.

The Board of Ethics maintained its membership in the International Council on Governmental Ethics Laws (COGEL) and the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.

